

## CHAPTER 13

### EMERGENCY MANAGEMENT

#### 13-1 LEGAL AUTHORITY

##### **Federal Authority**

- A. P.L. 109-365, Older Americans Act Amendments of 2006, amends Title III, Section 306. AREA PLANS, (17), of the Older Americans Act of 1965. The amendment requires area plans to “include information detailing how the Area Agency on Aging and Disability (AAAD) will coordinate activities, and develop long-range emergency preparedness plans, with local and state emergency response agencies, relief organizations, local and state governments, and any other institutions that have responsibility for disaster relief service delivery.”
- B. Administration on Aging: Emergency Assistance Guide 2006 promulgated by the United States Health and Human Resources, Administration on Aging. The entire contents of the Administration on Aging: Emergency Assistance Guide 2006 may be found at the following Web site:  
<http://www.aoa.dhhs.gov/PRESS/preparedness/preparedness.asp#guide>
- C. Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 93-288, June, 2006, Subchapter VI--Emergency Preparedness § 601. Declaration of Policy (42 U.S.C. 5195). A copy of the Stafford Disaster and Emergency Assistance Act can be found at the following Web site:  
<http://www.aoa.dhhs.gov/PRESS/preparedness/preparedness.asp#guide>

##### **State Authority**

- A. **Pursuant to TCA 71-2-104**, The Commission on Aging and Disability (TCAD) is designated as the state unit on aging as defined in the federal Older Americans Act of 1965, as amended, and shall exercise all responsibilities pursuant to that Act. In accordance with the federal Older Americans Act of 1965, as amended, the TCAD shall designate and contract with AAADs in

each of the TCAD's Planning and Service Areas (PSAs). AAADs shall ensure a coordinated and integrated provision of long term care services to the elderly and shall ensure the provision of prevention and early intervention services. The TCAD shall have overall responsibility for information system planning. The TCAD shall ensure, through the development of equipment, software, data, and connectivity standards, the ability to share and integrate information collected and reported by the AAADs in support of their contracted obligations to the state.

**B. Pursuant to TCA 58-2-108, Designation of Emergency Services Coordinators (ESC),** at the direction of the Governor, the head of each executive department and independent agency shall select from within such department or agency a person to be designated as the Emergency Services Coordinator (ESC) for the department or agency, together with an alternate ESC. The ESC is responsible for coordinating with TEMA and reporting to that agency on emergency preparedness issues, preparing and maintaining emergency preparedness and post disaster response and recovery plans for their agency, maintaining rosters of personnel to assist in disaster operations, and coordinating appropriate training for agency personnel.

## **13-2 BACKGROUND**

The state of Tennessee is vulnerable to a wide range of emergencies, including natural, technological, and manmade disasters, all of which threaten the life, health, and safety of its people; damage and destroy property; disrupt services and everyday business and recreational activities; and impede economic growth and development. The Tennessee Office of Emergency Management (TEMA) and TCAD focus their efforts in reducing the vulnerability of the people and property of the state; to prepare for efficient evacuation and shelter of threatened or affected persons; to provide for the rapid and orderly provision of relief to persons; and to provide for restoration. The state's policy for responding to disasters is to support local emergency response efforts. In the case of a major or catastrophic disaster, however, the needs of residents and communities will likely

be greater than local resources. In these situations, the state must be capable of providing effective, coordinated, and timely support to communities and the public.

### **13-3 CULTURE OF PREPAREDNESS**

Culture of preparedness: Educating and communicating to businesses, communities, and individuals about safety precautions that can be taken to prevent avoidable disasters and improving emergency detection is also an important component of mitigation that contributes to creating a culture of preparedness.

Preparedness is activity taken to prepare for an emergency before it occurs that facilitate disaster response to save lives, minimize damage, lessen the impact of an emergency and facilitate recovery. It is important to not just plan, but to prepare as well. Government agencies at all levels have an obligation to prepare themselves and the public for emergencies. The key to effective emergency management is being ready to provide a rapid emergency response.

### **13-4 ROLE OF AREA AGENCIES ON AGING AND DISABILITY (AAADs)**

AAADs play a pivotal role in assessing community needs and developing programs that respond to those needs. The AAADs also act as advocates for improved services for older persons and their families. During a disaster or emergency, AAADs must respond to meet the immediate needs of those affected.

#### **A. Preparedness**

Disaster/Emergency Response Plan. In order to maintain a state of readiness, the AAAD shall develop a written Disaster/Emergency Response Plan that outlines the response process when a disaster/emergency is reported. The plan shall include the following:

1. Comprehensive Emergency Management Plan (CEMP)
2. Continuity of Operations Plan (COOP)
3. For plan details, see Attachment 1, Comprehensive Emergency Management Plan and Attachment 2, Continuity of Operations Plan (COOP).

Annually, each AAAD is required to submit to the Emergency Service Coordinator (ESC) at TCAD its Disaster/Emergency Response Plan on or before June 1<sup>st</sup> for review. The Response Plan must:

1. Be practical and simple (simplicity);
2. Be comprehensive and relevant to the variety of disasters that potentially could hit the geographic area serviced by the AAAD (comprehensive); and
3. Outline a comprehensive and effective program to ensure continuity of essential functions under all circumstances (ensure program continuity).

The following elements must be considered in the development of the written plan. It is suggested that you use the following headings in your plan:

1. Types of Disasters - Consider the types of disasters/emergencies prevalent in the AAAD service area.
2. Capabilities and Limitations - Consider the AAADs capabilities and limitations.
3. Clients - Consider the possibility that, due to the nature and extent of the disaster/emergency, the AAAD might be called upon to provide services and assistance to elders who are not clients of the AAAD or lead agencies.
4. Responsibilities of AoA/TCAD - Consider the plans and responsibilities of the Administration on Aging and TCAD.
5. Relief Agencies - Consider the roles of various relief agencies in the service area.
6. Relief Authority - Consider the organizations primarily responsible for relief authority.

7. Local, State, and Federal Disaster Response - Consider how the AAADs disaster response relates to, and works with, local, state, and federal disaster response teams.
8. Backup Plans - Consider the possibility that, due to the nature and extent of the disaster/emergency, service and product suppliers (such as those providing homemaker and personal care services, transportation, food, water and ice) might be overwhelmed and unable to provide services and/or products and have backup plans to obtain needed services and/or products.
9. Elder Evacuees - Include a plan for providing services for elder evacuees and relocations from other service areas or states.
10. Communications - Provide guidelines to ensure that adequate staffing will be available to continue daily operations and ensure that communications are maintained with TCAD.

B. Emergency Services Coordinator

The AAAD shall designate an ESC and an Alternate ESC. The ESC is responsible for:

1. Disaster/Emergency Response Plan – When the ESC has been designated, training courses must be completed before an emergency plan can be written by the ESC. FEMA online courses are as follows: Introduction to Incident Command Systems 100, 200, 700 and 800 (ICS-100, 200, 700 and 800). (See [www.fema.gov](http://www.fema.gov) for more information.)
2. Formulating the Written Disaster/Emergency Response Plan, which includes a Comprehensive Emergency Management Plan (CEMP) and a Continuity of Operations Plan (COOP)
3. Coordinating - Coordinating with local emergency management officials on the following emergency preparedness issues:
  - a) Establish working relationships prior to disaster/emergency events with local emergency officials (county emergency operations staff, county sheriff, county health department special needs shelter unit

managers, local fire and police departments, and other key team members on the community response teams);

- b) Educate local emergency officials regarding the unique needs of older persons and adults with disabilities (including special dietary requirements).
- c) Participate in local emergency disaster planning;
- d) Ensure local emergency officials understand the role of the AAAD and the AAAD Emergency Services Coordinator in emergency/disaster response;
- e) Provide local emergency officials with an inventory of community resources for older persons and individuals with disabilities.

C. Maintaining AAAD Staff Emergency Contact Lists

The AAAD shall be responsible for maintaining an updated list of staff emergency contacts to include the following:

- 1. Telephone numbers - work, home, and/or cell;
- 2. E-mail addresses - work and home; and
- 3. Emergency contact(s) – name(s), telephone number(s).

D. Maintaining Partners Emergency Contact Lists

The AAAD shall be responsible for maintaining an updated list of partners (TCAD, local emergency management agencies, AAAD Lead Agencies, service providers, key suppliers).

E. Maintaining AAAD Emergency Response Rosters

The AAAD shall be responsible for maintaining an updated list of AAAD staff who can be called upon in the event of a disaster to provide assistance at Disaster Recovery Centers, Regional Operational Centers, or with discharge planning at Special Needs Shelters.

- 1. Staff shall be identified as those having administrative/support skills or services/program skills; and
- 2. Rosters should be provided to the TCAD Emergency Services' Coordinator.

- F. Training – The AAAD shall be responsible for coordinating appropriate emergency/disaster preparedness and response training for AAAD personnel.
- G. Liaison – The AAAD shall establish and maintain liaison with other elements of local emergency management, local representatives of the aging network and the Emergency Services Coordinator with TCAD.
- H. Communicating with TCAD
  - 1. The AAAD Emergency Services Coordinator shall participate in regular planning and coordination conferences, face-to-face, or by phone, with TCAD.
  - 2. During emergency events, in order to provide current information regarding the impact of the event on the AAAD, the AAAD Emergency Services Coordinator shall be required to report to the TCAD Emergency Services Coordinator the condition of the service area, the capability of the AAAD to provide emergency services, and identification of any unmet needs.
- I. Education of the Network – The AAAD shall promote disaster preparedness and education among AAAD personnel, older persons and adults with disabilities and the aging network with specific focus on Senior Centers.
- J. Coordinating AAAD Emergency Response Efforts with Other Local, State and Federal Emergency Plans - Disaster/Emergency Chain of Command - All states, including Tennessee, have developed a systematic, written response to disasters. This response indicates a chain of command in the event of a disaster/ emergency, including which the local, state and federal agency will take the lead in determining the scope of the disaster/emergency and requesting assistance from the federal government, when applicable.
- K. State Government Responsibility - It is the responsibility of state governments to assist local government in implementing emergency management programs in order to protect life and property from the effects of hazardous events. This plan is based on the concept that the initial response to an emergency will be by local government agencies and the public and private entities, such as an AAAD, that have been designated a role in a disaster.

- L. Local Government Responsibility - It is the responsibility of local government to implement emergency management programs in order to protect life and property from the effects of hazardous events. The initial response to an emergency will be by local government agencies and local public and private entities, such as an Area Agency on Aging and Disability, that have been designated a role in a disaster.
- M. Vertical and Horizontal Communication - As a result of this process, most of the AAAD disaster/emergency preparation consists of establishing and maintaining vertical and horizontal communication with all who will work with the AAAD when a disaster/emergency strikes.
- N. Expectations of AAAD - To determine who will perform which services in the case of a disaster/emergency, the AAAD needs to understand what will happen and what will be expected of the AAAD.
  - 1. AAAD Role - The AAAD will be a player in a community wide response team.
  - 2. Community Response Team - As a member of the response team, the AAAD must develop a clear picture of all members of this community-wide response team.
- O. Preplanning Community Coordination
  - 1. Disaster/Emergency Response System - The AAAD shall identify the current Disaster/Emergency response system within its service area and determine the AAAD role within the system.
  - 2. Community Organization Response Team - The AAAD should forge alliances with community organizations that might assist in responding to disasters/emergencies affecting older persons and adults with disabilities within the service area. (For more information on resources and contacts by County, refer to Web site: [http://www.tnema.org/LEPC\\_EMA-PDF/West%20Region%20EMAs.pdf](http://www.tnema.org/LEPC_EMA-PDF/West%20Region%20EMAs.pdf)). Among the organizations that may be a part of the response team are the following:
    - a) American Red Cross;



- b) Salvation Army;
- c) Civil Defense;
- d) Faith-Based Organizations;
- e) Non-Profit Organizations;
- f) Department of Human Services;
- g) Health Councils;
- h) Business Community;
- i) Neighborhood groups, homeowner and condominium associations;
- j) Neighborhood watch groups; and
- k) Volunteer organizations, i.e., TN Voluntary Organizations Active in Disaster (TN VOAD).

3. Local Response Team - Local players in a response team should include:

- a) Local government officials (mayor, police, county authorities including county emergency operations staff);
- b) County sheriff;
- c) County Health Department – especially staff assigned to Special Needs Shelters;
- d) Local fire and police departments;
- e) Nursing Homes and Assisted Living Facilities, and
- f) Media (assuring that the warning system in place is appropriate for cultural diversity, multi-lingual, and for persons with visual and hearing impairments);
- g) Resources - Community resources to call upon to assist in the identification and location of older persons and adults with disabilities requiring emergency assistance:
  - Four wheel drive, boat and ham radio owners;
  - Mail carriers;
  - Grocery stores or pharmacies that deliver;

- Faith-based groups that visit homebound older persons and adults with disabilities;
- Desk clerks of single occupancy hotels;
- Anyone trained in Disaster/Emergency response who knows the community;
- Meals on Wheels, Personal Care, and Homemaker service providers; and
- Senior Center staff.

4. Identification of Older Persons and Adults with Disabilities - AAADs are responsible for identifying older persons, not just the clients they serve but older persons and adults with disabilities located in the general population, who may be at risk due to disruption of services (e.g., lack of food, power, water, sewer, medicine, fire protection, emergency medical service, law enforcement, power, and/or continuity of care). Immediately after a disaster/ emergency, the AAAD shall identify the number of older persons and adults with disabilities affected by the disaster/emergency. Information that will facilitate identification should be obtained in advance and incorporated into the Disaster/Emergency Response Plan. The following elements may assist in this endeavor:

- a. Latest census information on the number of older persons and adults with disabilities by county;
- b. Maps that pinpoint concentrations of older persons and adults with disabilities;
- c. A geographic map (Global Imaging System or GIS) with a demographic overlay showing the most vulnerable when disaster/emergency possibilities and geography are related, such as floods, earth quakes and tornadoes;
- d. Maps of concentrations of one-person senior households;
- e. Maps of concentrations of low income, minority and ethnic interpreter available if English is not their first language.



## Attachment 1

### COMPREHENSIVE EMERGENCY MANAGEMENT PLAN (CEMP)

A comprehensive emergency management program encompasses all hazards and all phases of related planning including mitigation, preparedness, response and recovery. This includes business continuity, emergency and disaster planning, as well as all of the related specialty areas such as hazard identification and mitigation, emergency response, disaster recovery, business resumption, crisis management, and continuity of operations to name a few.

Comprehensive Emergency Management Programs provide a complete approach for dealing with disruptions in both the public and the private sector.

Comprehensive Emergency Management deals with day-to-day disruptions as well as managing response to, and recovery from, major disasters. A comprehensive program will enable both governments and businesses to deal with any emergency thus protecting the entire community.

A Comprehensive Emergency Management Plan (CEMP) establishes a framework for an effective system of comprehensive emergency management. The Plan describes the basic strategies, assumptions, operational goals and objectives, and mechanisms through which a jurisdiction will mobilize resources and conduct activities to guide and support emergency management efforts through preparedness, response, recovery, and mitigation. To facilitate effective operations, the Plan adopts a functional approach that groups the types of assistance to be provided into Emergency Functions.

A. Definition of Comprehensive Emergency Management: Comprehensive Emergency Management is generally defined to be a broad process aimed at the reduction of loss of life and property and the protection of people and assets from all types of hazards

through a risk-based program of mitigation, preparedness, response and recovery. When properly implemented, CEMP includes many of the related activities included in specialty areas such as business continuity and disaster recovery.

1. Comprehensive Emergency Management (CEM). An integrated approach to the management of emergency programs and activities for all four emergency phases (mitigation, preparedness, response, and recovery), for all types of emergencies and disasters (natural, man-made, and attack), and for all levels of government and the private sector.
  2. Comprehensive Emergency Management Plan (CEM Plan). Contains policies, authorities, concept of operations, legal constraints, responsibilities, and emergency functions to be performed. Agency response plans, responder standard operating procedures, and specific incident action plans are developed from this strategic document.
  3. Comprehensive Emergency Management Program (CEM Program). Provides the framework for development, coordination, control, and direction of all Comprehensive Emergency Management planning, preparedness, readiness assurance, response, and recovery actions.
- B. Business Continuity Management. Business Continuity Management is a comprehensive process to ensure the continuation and improvement of business regardless of the nature of the event. It is meant to have a very broad meaning and is often used as an all-encompassing term to describe an integrated and enterprise-wide process.
1. Plans should include the following elements at a minimum (in alphabetical order):
    - a. Accident prevention
    - b. Business impact analysis
    - c. Business recovery
    - d. Business resumption planning
    - e. Command centers
    - f. Computer security
    - g. Contingency planning
    - h. Crisis communication

- i. Crisis management
  - j. Disaster recovery
  - k. Emergency management and response
  - l. Event management
  - m. Exercising and training
  - n. Information security
  - o. Mitigation planning
  - p. Project management and quality control
  - q. Risk control
  - r. Risk financing and insurance
  - s. Risk management
  - t. Safety and security
  - u. Software management
2. The plan must be maintained and updated as business processes change.
  3. Continuity plans must be tested. Tabletop drills and functional exercises are generally used to ensure that they will work.

## Attachment 2

### CONTINUITY OF OPERATIONS PLANS (COOP)

The Commission on Aging and Disability and the Area Agencies on Aging and Disability must have written disaster/emergency plans, which include a Continuity of Operations Plan (COOP). This plan must protect life and property (including vital records) while supporting clients with essential services until normal operations can resume.

#### A. Overview of Continuity of Operations Plan

1. Continuity of Operations Plans must provide for:
  - a. Succession to office and emergency delegation of authority;
  - b. Safekeeping of essential resources, facilities, and records;
  - c. Establishment of emergency operating capabilities; and
  - d. Ensure that individual departments and agencies can continue performing their essential functions under a broad range of circumstances.
2. Continuity of Operations Plans must:
  - a. Be effective with and without warning;
  - b. Take an all-hazard approach;
  - c. Include alternate facilities;
  - d. Have essential functions operational within 12 hours of activation; and
  - e. Be able to sustain operations for 30 days.
3. Objectives of COOP planning:
  - a. Ensure continued performance of agency identified essential functions and operations during a COOP event;
  - b. Reduce loss of life;
  - c. Minimize damage and losses to critical processes and information;
  - d. Ensure successful succession to office in the event that a disruption renders the agency leadership unavailable to perform their responsibilities;
  - e. Reduce or mitigate disruptions to operations – anticipate what might occur and plan to deal with it;

- f. Ensure that agencies have alternate facilities from which to perform their essential functions during a COOP event;
- g. Protect essential facilities, equipment, vital records, and other assets;
- h. Achieve a timely and orderly recovery from a COOP situation;
- i. Achieve an efficient reconstitution from an emergency and resume full service to both internal and external clients; and
- j. Maintain a test, training, and exercise program to support the implementation and validation of COOP plans.

#### B. Elements of a viable COOP plan

1. Essential functions are an agency's business functions that must continue with no or minimal disruptions and that enable an organization to:
  - a. Provide vital services;
  - b. Exercise civil authority;
  - c. Maintain the safety of the general public; and
  - d. Sustain the industrial or economic base during an emergency;
  - e. Essential functions must continue even when an agency cannot support its broader mission.
  - f. When identifying essential functions, agencies must:
    - a) Determine what must be continued in all circumstances, and consider those functions that cannot suffer an interruption for more than 12 hours.
  - g. Agencies must be capable of sustaining these essential functions for up to 30 days.
  - h. Essential functions may support another department, agency, or organization.
  - i. Essential functions should be prioritized based on the criticality of the function and against the likely COOP triggers and scenarios.
  - j. Vital Records: Vital records are information items (electronic and hardcopy documents, references, and records) that are considered to be vital to the operation of an organization and are needed to support



essential functions during a COOP situation. This includes client records and files. Categories of vital records include:

- a) Emergency operation records;
  - b) Client records and files; and
  - c) Legal and financial records.
- k. An effective vital records program provides for the identification, protection, and ready availability of vital records, databases, and hardcopy documents necessary to support essential functions under the full spectrum of emergencies.
- l. Orders of succession: Provisions for the assumption of senior agency offices during an emergency, in the event that any of those officials are unavailable to execute their legal duties, to support day-to-day operations. Orders of succession procedures include the conditions under which succession will take place, the method of notification, and any organizational limitation on the authorities. Orders of succession are included with the agency's vital records.
- m. Delegations of Authority: Specify and document who is authorized to act on behalf of the department or agency head and other key officials for specific purposes. Delegations of authority are required to ensure:
  - a) Continued operations of departments and agencies and their essential functions, and
  - b) Rapid response to any emergency situation requiring COOP plan implementation.
- n. A delegation of authority states explicitly:
  - a) The authority that is being delegated, including any exceptions;
  - b) The limits of that authority;
  - c) To whom the authority is being delegated (by title, not name);
  - d) The circumstances under which delegated authorities would become effective and when they would terminate; and
  - e) The successor's authority to re-delegate those functions and activities.

- o. Alternate facilities: An agency's primary facility suffers damage, and an alternate facility is required for COOP operations. At least two alternate facilities should be identified in case the first selection is unavailable during the emergency.
- p. Interoperable Communications: Communications that provide the capability to perform essential functions, in conjunction with other agencies, until normal operations can be resumed. Interoperable communications must be:
  - a) Redundant;
  - b) Available within 12 hours of activation; and
  - c) Sustainable for up to 30 days.
- q. Human Capital: The transformation of how we employ, deploy, develop and evaluate the workforce. Focuses on results, not processes. Places the right people in the right jobs to most effectively perform the work of the organization—includes cross training.
- r. Test, Training, and Exercises: Measures to ensure that an agency's COOP program is capable of supporting the continued execution of its essential functions through the duration of a COOP situation.
- s. Devolution: The capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other employees and facilities and to sustain that operational capability for an extended period.
- t. Addresses catastrophic or other disasters that render an organization's leadership and staff unavailable or incapable of performing its essential functions from either its primary or alternate facility (ies).
- u. Should provide procedures, guidance, and an organizational structure for the receiving organization to ensure that the organization's essential functions are continued.
- v. Reconstitution: The process by which surviving and/or replacement agency personnel resume normal agency operations from the original or

replacement primary operating facility. A plan to return to normal operations after agency heads or their successors determine that reconstitution operation can begin.

### C. Continuity of Operations (COOP) Template

1. **Executive Summary.** The executive summary should briefly outline the organization and content of the COOP Plan and describe what it is, whom it affects, and the circumstances under which it should be executed. Further, it should discuss the key elements of COOP planning and explain the organization's implementation strategies.
2. **Introduction.** The introduction to the COOP Plan should explain the importance of COOP planning to the organization. It may also discuss the background for planning, referencing recent events that have led to the increased emphasis on the importance of a COOP capability for the organization.
3. **Purpose.** The purpose section should explain why the organization is developing a COOP Plan. It should briefly discuss applicable Federal guidance and explain the overall purpose of COOP planning, which is to ensure the continuity of mission essential functions. Because of today's changing threat environment, this section should state that the COOP Plan is designed to address the all hazard threat.
4. **Applicability and Scope.** This section describes the applicability of the plan to the organization as a whole, headquarters as well as subordinate activities, co-located and geographically disperse, and to specific personnel groups of the organization. It should also include the scope of the plan. Ideally, plans should address the full spectrum of potential threats, crises and emergencies (natural as well as man-made).
5. **Essential Functions.** The essential functions section should include a list of the organization's prioritized essential functions. Essential functions are those organizational functions and activities that must be continued under any and all circumstances. Organizations should:

- a. Identify all functions, then determine which must be continued under all circumstances;
  - b. Prioritize these essential functions;
  - c. Establish staffing and resource requirements; and
  - d. Integrate supporting activity.
6. **Authorities and References.** This section should reference an annex that outlines all supporting authorities and references that have assisted in the development of this COOP Plan.
7. **Concept of Operations.** This section should explain how the organization will implement its COOP Plan, and specifically, how it plans to address each critical COOP element. This section should be separated into three phases.
- a. Phase I: Activation and Relocation (hours 0-12): The Phase I section should explain COOP Plan activation procedures and relocation procedures from the primary facility to the alternate facility. This section should also address procedures and guidance for non-relocating personnel.
  - b. Decision Process: The section should explain the logical steps associated with implementing a COOP Plan, the circumstances under which a plan may be activated (both with and without warning), and should identify who has the authority to activate the COOP Plan. This process can be described here or depicted in a graphical representation.
  - c. Alert, Notification, and Implementation Process: This section should explain the events following a decision to activate the COOP Plan. This includes employee alert and notification procedures and the COOP Plan implementation process.
  - d. Orders of Succession: This section should identify orders of succession to key positions within the organization. Orders should be of sufficient depth to ensure the organization's ability to manage and direct its essential functions and operations. The conditions under which succession will take place, the method of notification, and any temporal, geographical, or organizational limitations of authority should also be identified.

- e. Delegations of Authority: This section should identify, by position, the authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations, as appropriate. Generally, pre-determined delegations of authority will take effect when normal channels of directions are disrupted and terminate when these channels have resumed. Delegations of authority should document the legal authority for making key decisions, identify the programs and administrative authorities needed for effective operations, and establish capabilities to restore authorities upon termination of the event.
- f. Devolution: The devolution section should address how an organization will identify and conduct its essential functions in the aftermath of a worst-case scenario, one in which the leadership is incapacitated. The organization should be prepared to transfer all of their essential functions and responsibilities to personnel at a different office or location.
- g. Phase II: Onsite Operations (12 hours to 30 days): The Phase II sections should identify initial arrival procedures as well as operational procedures for the continuation of essential functions.
- h. Mission Critical Systems: The section should address the organization's mission critical systems necessary to perform essential functions and activities. Organizations must define these systems and address the method of transferring/replicating them at an alternate site.
- i. Vital Files, Records, and Databases: This section should address the organization's vital files, records, and databases, to include classified or sensitive data, which are necessary to perform essential functions and activities and to reconstitute normal operations after the emergency ceases. Organizational elements should pre-position and update on a regular basis those duplicate records, databases, or back-up electronic media necessary for operations.
- j. Phase III: Reconstitution (recovery, mitigation, and termination): The Phase III sections should explain the procedures for returning to normal

operations—a time phased approach may be most appropriate. This section may include procedures for returning to the primary facility, if available, or procedures for acquiring a new facility. Notification procedures for all employees returning to work must also be addressed. The conduct of an After-Action Report (AAR), to determine the effectiveness of COOP plans and procedures should be considered.

- k. COOP Planning Responsibilities: This section should include additional delineation of COOP responsibilities of each key staff position, to include individual Emergency Relocation Group (ERG) members, those identified in the order of succession and delegation of authority, and others, as appropriate.

- l. Logistics:

Alternate Location: The alternate location sections should explain the significance of identifying an alternate facility, the requirements for determining an alternate facility, and the advantages and disadvantages of each location. Senior managers should take into consideration the operational risk associated with each facility. Performance of a risk assessment is vital in determining which alternate location will best satisfy an organization's requirements. Alternate facilities should provide:

- a) Sufficient space and equipment;
- b) Capability to perform essential functions within 12 hours, up to 30 days;
- c) Reliable logistical support, services, and infrastructure systems;
- d) Consideration for health, safety, and emotional well-being of personnel;
- e) Interoperable communications; and
- f) Computer equipment and software.

- m. Interoperable Communications: The interoperable communications section should identify available and redundant critical communication systems that are located at the alternate facility. These systems should provide the

ability to communicate within the organization and outside the organization. Interoperable communications should provide:

- a) Capability commensurate with an agency's essential functions;
  - b) Ability to communicate with essential personnel;
  - c) Ability to communicate with other agencies, organizations, and clients. It is imperative that the Information and Assistance (I&A) lines remain operational 24 hours a day, 7 days a week even during an event;
  - d) Access to data and systems;
  - e) Communications systems for use in situations with and without warning;
  - f) Ability to support COOP operational requirements;
  - g) Ability to operate at the alternate facility within 12 hours, and for up to 30 days; and
  - h) Interoperability with existing field infrastructures.
- n. Tests, Training, and Exercises: This section should address the organization's Test, Training, and Exercise (TT&E) Plan. Tests, Training, and Exercises familiarize staff members with their roles and responsibilities during an emergency, ensure that systems and equipment are maintained in a constant state of readiness, and validate certain aspects of the COOP Plan. COOP TT&E should provide:
- a) Individual and team training of agency personnel;
  - b) Internal agency testing and exercising of COOP plans and procedures;
  - c) Testing of alert and notification procedures;
  - d) Refresher orientation for COOP personnel; and
  - e) Joint interagency exercising of COOP plans, if appropriate.
- o. Multi-Year Strategy and Program Management Plan: This section should discuss how the organization plans to develop their Multi-Year Strategy and Program Management Plan (MYSPMP). The MYSPMP should address short- and long-term COOP goals, objectives, and timelines,

budgetary requirements, planning and preparedness considerations, and planning milestones or tracking systems to monitor accomplishments. It should be developed as a separate document.

- p. COOP Plan Maintenance: This section should address how the organization plans to ensure that the COOP Plan contains the most current information. Federal guidance states that organizations should review the entire COOP Plan at least annually. Key evacuation routes, roster and telephone information, as well as maps and room/building designations of alternate locations should be updated as changes occur.
- q. Annexes:
  - a) Annex A: Authorities and References: This annex should cite a list of authorities and references that mandate the development of this COOP Plan, and provide guidance towards acquiring the requisite information contained in the COOP Plan.
  - b) Annex B: Operational Checklists: This section should contain operational checklists for use during a COOP event. A checklist is a simple tool that ensures all required tasks are accomplished so that the organization can continue operations at an alternate location. Checklists may be designed to list the responsibilities of a specific position or the steps required to complete a specific task. Sample operation checklists may include:
    - Emergency Calling Directory;
    - Key Personnel Roster and Essential Functions Checklist;
    - Senior Emergency Response Team Roster;
    - Emergency Relocation Team Checklist;
    - Alternate Site Acquisition Checklist;
    - Emergency Operating Records and IT Checklist; and
    - Emergency Equipment Checklist.



- c) Annex C: Alternate Location/Facility Information: This annex should include general information about the alternate location/facility. Examples include the address, point of contact, and available resources at the alternate location.
- d) Annex D: Maps and Evacuation Routes: This annex should provide maps, driving directions, and available modes of transportation from the primary facility to the alternate location. Evacuation routes from the primary facility should also be included.
- e) Annex E: Definitions and Acronyms: This annex should contain a list of key words, phrases, and acronyms used throughout the COOP Plan and within the COOP community. Each key word, phrase and acronym should be clearly defined.